



## DE-FOA-0002221 – FLECCS SBIR/STTR

Questions can be sent to [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov)

FIRST DEADLINE FOR QUESTIONS TO ARPA-E-CO@HQ.DOE.GOV:

5 PM ET, DECEMBER 13, 2019

SECOND DEADLINE FOR QUESTIONS TO ARPA-E-CO@HQ.DOE.GOV:

5 PM ET, TBD

### QUESTIONS AND ANSWERS

PLEASE REFER TO THE GENERAL FAQs SECTION OF ARPA-E'S WEBSITE (<http://arpa-e.energy.gov/?q=faq/general-questions>) FOR ANSWERS TO MANY GENERAL QUESTIONS ABOUT ARPA-E AND ARPA-E'S FUNDING OPPORTUNITY ANNOUNCEMENTS. ADDITIONAL QUESTIONS SPECIFIC TO THIS FOA ONLY ARE INCLUDED BELOW. PLEASE REVIEW ALL EXISTING GENERAL FAQs AND FOA-SPECIFIC QUESTIONS BEFORE SUBMITTING NEW QUESTIONS TO ARPA-E.

#### I. Concept Paper Phase Questions:

**Q1. Per the FLECCS FOA, and Amendment I to FOA 1953, "...if any entity receives a Financial Assistance Award from ARPA-E under [Amendment I of FOA 1953], that entity will be prohibited from participating on any FLECCS Project Team." How is entity defined? Would an entire organization ... be prohibited from participating in any FLECCS project if we [received an award under] Amendment I of FOA 1953?**

**ANSWER:** In response to this and other similar questions, ARPA-E is amending DE-FOA-0001953, Topic I, DE-FOA-0002220, and DE-FOA-0002221 to limit individuals (as opposed to entities) from performing work under both: (i) DE-FOA-0001953, Topic I, and (ii) DE-FOA-0002220 (titled FLExible Carbon Capture and Storage (FLECCS)) and/or DE-FOA-0002221 (titled FLExible Carbon Capture and Storage SBIR/STTR (FLECCS SBIR/STTR)), collectively, the "FLECCS Program".

Accordingly, ARPA-E will amend DE-FOA-0001953, Appendix I, Section 4, DE-FOA-0002220, Section III.A, and DE-FOA-0002221, Section III.A, to read substantially as follows:

*An entity may submit separate applications to the Solicitation on Topics Informing New Program Areas: Topic I, DE-FOA-0001953, and FLExible Carbon Capture and Storage (FLECCS) DEFOA-0002220 and/or FLExible Carbon Capture and Storage SBIR/STTR (FLECCS SBIR/STTR) DEFOA-0002221 (collectively, the 'FLECCS Program'). However, any individual participating on a Financial Assistance Award from ARPA-E under Solicitation on Topics Informing New Program Areas: Topic I, DE-FOA-0001953, will be prohibited from participating on any FLECCS Project Team.*

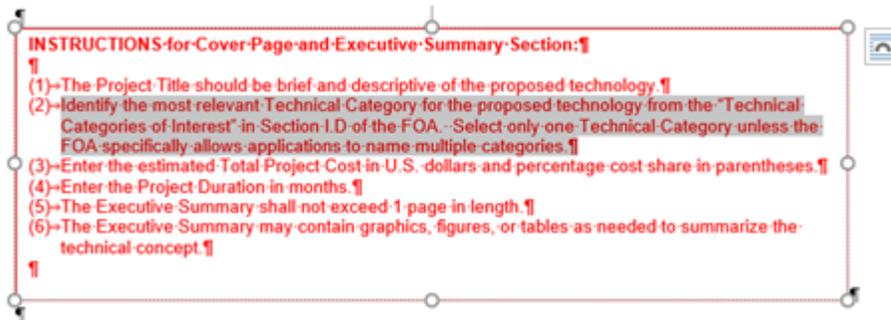
**Q2. Can you please tell me what the difference is between DE-FOA-0002220 and DE-FOA-0002221**

**ANSWER:** Prospective applicants are encouraged to read the funding opportunity announcements and independently assess if a submission is warranted under DE-FOA-0002220 or DE-FOA-0002221. DE-FOA-0002221 is targeted at small business concerns under the Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs, and reflects the unique rules and regulations applicable to those programs. Entities that qualify as "Small Business Concerns" are strongly encouraged to apply under DE-FOA-0002221. To determine eligibility as a "Small Business Concern" under DE-FOA-0002221, review the eligibility requirements in Sections III.A-III.D of the FOA.

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### II. Full Application Phase Questions:

**Q3. I am preparing the technical volume of a proposal for DE-FOA-0002221. The template says I need to identify a “technical category” for my technology. But I don’t see the options in Section I.D of the most recent version of FOA (modification 02). Can you check it?**



**ANSWER:** Applicants may disregard this instruction.

**Q4.1 Currently, DOE SBIR/STTR programs have a 9-month SBIR Phase I program (up to \$250,000) followed by a 24-month Phase II (up to \$1,600,000) and potential 24-month Phase IIA or Phase IIB programs (up to \$1,600,000). These I/II/IIA (or IIB) multi-phase programs are therefore 57-month programs.**

**ANSWER:** ARPA-E administers its own SBIR/STTR Program separate from the Department’s program. As set forth at FOA Section II.A, the maximum performance period for a Phase I/II/IIS award is 51 months.

**Q4.2 We are planning to submit a full application to DE-FOA-0002221 after receiving the go ahead from ARPA-E on our concept paper. We plan to only submit for the FLECCS Phase I (i.e. 15 month portion of the program) since we are an early stage technology and feel there is less risk associated with this funding level. We would then pursue FLECCS Phase II funding (i.e. 36 month portion of the program) if our Phase I is successful.**

**ANSWER:** As set forth at FOA Section II.A: *Applicants interested in applying for Phase 1 and Phase 2 of the FLECCS Program must apply for a Combined Phase I/II/IIS SBIR or STTR Award.* At ARPA-E’s sole discretion, awards resulting from this FOA may be renewed by adding one or more budget periods, extending the period of performance of the initial award, or issuing a new award (refer to FOA Section II.B).

**Q4.3 If we are only pursuing the FLECCS Phase I, it is understood that our full proposal should detail what would traditionally be an SBIR Phase I and SBIR Phase II program (no Phase IIS in this case).**

**ANSWER:** This is incorrect. FLECCS Phase 1 has a term of approximately 15 months (refer to FOA Section I.C.3), and will conclude at some point during SBIR/STTR Phase II. FLECCS Phase 2 will

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include the remaining SBIR/STTR Phase II term and all of the SBIR/STTR Phase IIS term, approximately 36 months (refer to FOA Section I.C.3).

### Q4.4 In terms of the budget periods:

- Can you confirm that the SBIR Phase I is \$256,580 and the SBIR Phase II is \$1,710,531 (according to the SBA website) and the total funding for SBIR Phase I/II be \$1,967,111?
- Can you confirm that the SBIR Phase IIS is an additional \$1,710,531 for overall Phase I/II/IIS funding \$3,677,642?

**ANSWER:** As set forth at FOA Section II.A, There the maximum amount for a: (i) Phase I award is \$256,580, (ii) Phase I/II award is \$1,967,111, and (iii) Phase I/II/IIS award is \$3,677,642.

### Q4.5 Can you confirm that the Full Proposal page limits can be used if we are only pursuing FLECCS Phase I (15-month program)?

**ANSWER:** Yes.

### Q4.6 Can you confirm that the SBIR Phase I and SBIR Phase II need to be completely detailed in the full proposal even if the company is only pursuing the first 15-month FLECCS Phase I funding?

**ANSWER:** Yes; however, applicants are reminded that FLECCS Phase 1 has a term of approximately 15 months (refer to FOA Section I.C.3), and will conclude at some point during SBIR/STTR Phase II.

### Q4.7 Since the SBIR Phase I/II/IIS can be no longer than 51 months, will the SBIR Phase I be “informally” truncated to 3 months, leaving a 24-month SBIR Phase II and 24-month Phase IIS (total of 51 months)?

**ANSWER:** As provided in the SBIR/STTR Policy Directive, ARPA-E has discretion to extend performance periods for the different phases of an SBIR/STTR award “where appropriate for a particular project.” Therefore, ARPA-E is not dictating a specific length to each SBIR/STTR Phase, but rather leaves it to each applicant to propose a period of performance for each SBIR/STTR Phase that will fit within the FLECCS Programmatic Phase time periods (i.e., FLECCS Phase 1 will be 15 months and FLECCS Phase 2 will be up to 36 months). It is expected that SBIR/STTR Phase I and a portion of SBIR/STTR Phase II performance period will encompass the 15-month FLECCS Phase 1. The balance of the SBIR/STTR Phase II performance period, and all of the Phase IIS performance period will make up the 36-month FLECCS Phase 2.

### Q4.8 How much of the SBIR Phase II funding (\$1,710,531) can be used during the FLECCS Phase I 15-month period and how much should be saved for the SBIR Phase II (cont'd) that is a part of the FLECCS Phase II period of performance (36-months)?

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**ANSWER:** There is no limit; however, the soundness of an Applicant's management plan, including the ...

- *Plausibility of plan to manage people and resources;*
- *Allocation of appropriate levels of effort and resources to proposed tasks;*
- *Reasonableness of the proposed project schedule, including major milestones; and*
- *Reasonableness of the proposed budget to accomplish the proposed project.*

... are subject to merit review (refer to FOA Section V.A.2).

### **Q4.9 You may be getting this question a lot, but are there any expected delays in the deadline for this FLECCS SBIR/STTR FOA due to issues with the coronavirus pandemic?**

**ANSWER:** The date and time for submission of Full Applications has been revised to April 14, 2020 at 9:30 am by DE-AR-0002221.M03.